

Retention and Classification Report

Agency: Utah Counties Indemnity Pool (3247)

Utah Counties Indemnity Pool
10980 S. Jordan Gateway
South Jordan, UT 84095
801-565-8500

Records Officer Sonya White

26123	Audit records and financial statements
26105	Board of trustee minutes
26026	Claims-made insurance policies
26029	Loss prevention records
26024	Multiline claims records
26121	Occurrence-based insurance policies
26122	Personnel files
26028	Underwriting agency placement records
26027	Underwriting records
26025	Worker's compensation claims records

AGENCY: Utah Counties Indemnity Pool

SERIES: 26123

3

TITLE: Audit records and financial statements

DATES: 1992-

ARRANGEMENT: Chronologically by date.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

Audit records include all financial and claims audits performed by outside auditors. Financial statements include all outside and in-house monthly financial statements of the financial affairs of the Utah Counties Insurance Pool and an accounting of all income and expenditures in relationship to adopted budgets.

RETENTION:

Retain permanently

DISPOSITION:

Retain in agency custody.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule CNT 5, Item 4.

AUTHORIZED: 03/30/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative Fiscal Historical

AGENCY: Utah Counties Indemnity Pool

SERIES: 26105

3

TITLE: Board of trustee minutes

DATES: 1992-

ARRANGEMENT: Chronologically by date.

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

These are the minutes of regular, special, and emergency meetings of official county committees, boards, and task forces. They may also include an official agenda. (See Internal committee records)

RETENTION:

Retain permanently

DISPOSITION:

Retain in agency custody.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule CNT 1, Item 15.

AUTHORIZED: 02/13/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office permanently.

APPRAISAL:

Administrative Historical

AGENCY: Utah Counties Indemnity Pool

SERIES: 26105

TITLE: Board of trustee minutes

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Utah Counties Indemnity Pool

SERIES: 26026

3

TITLE: Claims-made insurance policies

DATES: 1992-

ARRANGEMENT: Alphabetically by county thereunder chronologically by date

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files contain copies of claims-made coverage agreements and insurance policies. These policies designate what is covered and what is excluded. A claims-made policy requires that the claim be presented to the insurance company during the policy period.

RETENTION:

Retain 15 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 15 years after expiration of any tail coverage and then destroy.

AGENCY: Utah Counties Indemnity Pool

SERIES: 26029

3

TITLE: Loss prevention records

DATES: 1995-

ARRANGEMENT: Alphabetically by county thereunder chronologically by year.

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

Through the loss prevention program the Utah Counties Insurance Pool provides rate reduction incentives which allow counties to qualify for premium reductions. Records in the loss prevention files may include inspections, information about training, recommendations to members, and information about any other activities related to incentive programs.

RETENTION:

Retain 12 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

AGENCY: Utah Counties Indemnity Pool

SERIES: 26024

3

TITLE: Multiline claims records

DATES: 1992-

ARRANGEMENT: Alphabetically by county thereunder chronologically by date.

ANNUAL ACCUMULATION: 5.00 cubic feet.

DESCRIPTION:

These records are associated with insurance claims submitted by counties for such things as automobiles, property, and civil rights for county officials. The files include all insurance claims, litigation, subrogation, and correspondence.

RETENTION:

Retain 20 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years after last recorded activity and then transfer to State Records Center. Retain in State Records Center for 15 years and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

AGENCY: Utah Counties Indemnity Pool

SERIES: 26121

3

TITLE: Occurrence-based insurance policies

DATES: 1992-

ARRANGEMENT: Alphabetically by county thereunder chronologically by date.

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files contain copies of occurrence-based insurance coverage agreements and reinsurance obligations to pay claims. These insurance policies designate what is covered and what is excluded. Occurrence-based policies do not restrict the time frame in which claims can be made.

RETENTION:

Retain permanently

DISPOSITION:

Retain in agency custody.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office permanently.

APPRAISAL:

Administrative

Since occurrence-based policies do not restrict the time frame in which claims can be made the series is needed in the office permanently.

AGENCY: Utah Counties Indemnity Pool

SERIES: 26122

3

TITLE: Personnel files

DATES: 1992-

ARRANGEMENT: Alphabetically by surname.

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

Complete work history of an individual (excluding medical/psychological information) while employed by the State. Refer to UCA 67-18-1 (2005), et seq. and DHRM rules on accessing, maintaining, and managing employee personnel files. The employee's personnel file shall be considered a supplement to the DHRM computerized file and shall be subject to the rules governing personnel files. When an employee transfers to another state agency, the employee's personnel file must be sent to the new agency. The file typically includes applications for employment, career mobility documents, Memorandums of Understanding (MOU's), Employment Eligibility Certification records, Form 1-9 and other documents required by the U.S. Citizenship and Immigration Services; employee signed overtime agreements, personnel actions, corrective action plans, notices of disciplinary action, new employee orientation form checklists, performance plans and evaluations, letters of appreciation/commendation, separation and leave without pay records, employee benefits notification forms for PEHP and URS; references, copies of transcripts, training certifications or preparations, copies of items recorded in the DHRM computerized file, leave and time records; copies of any documents affecting the employee's conduct, status or salary, etc.

RETENTION:

Retain 65 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule CNT 8, Item 20.

AUTHORIZED: 02/08/2006

AGENCY: Utah Counties Indemnity Pool

SERIES: 26122

TITLE: Personnel files

(continued)

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 65 years or until 3 years after death or retirement and then destroy.

APPRAISAL:

PRIMARY CLASSIFICATION:

Private UCA 63G-2-302 (1)(e) (2008)

SECONDARY CLASSIFICATION(S):

Public. UCA 63G-2-301 (1)(b) (2008)

AGENCY: Utah Counties Indemnity Pool

SERIES: 26028

3

TITLE: Underwriting agency placement records

DATES: 1992-

ARRANGEMENT: Alphabetically by county thereunder chronological by date

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

These files pertain to property liability for events not covered under coverage agreements or reinsurance policies. Some examples are airport and aircraft liability, and third party events in county facilities.

RETENTION:

Retain 5 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years after expiration of policy and then destroy.

APPRAISAL:

Administrative

AGENCY: Utah Counties Indemnity Pool

SERIES: 26027

3

TITLE: Underwriting records

DATES: 1992-

ARRANGEMENT: Alphabetically by county and thereunder chronologically by date

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

Underwriting files contain financial data and information about county exposure such as values of buildings, automobiles and all other county property and complete lists of county expenditures. This information is used to establish insurance rates and to market the annual reinsurance policies.

RETENTION:

Retain 5 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years after close of underwriting period and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

AGENCY: Utah Counties Indemnity Pool

SERIES: 26025 3

TITLE: Worker's compensation claims records

DATES: 2004-

ARRANGEMENT: Alphabetical by county, thereunder chronological by year, thereunder alphabetical by surname.

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These insurance records are associated with medical or indemnity claims submitted by counties for employees who were injured on the job.

RETENTION:

Retain 5 years

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2006

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years after last activity on the claim and then destroy.